



4910-06-P

DEPARTMENT OF TRANSPORTATION

Federal Railroad Administration

[Docket No. FRA-2018-0008-N-4]

Proposed Agency Information Collection Activities; Comment Request

AGENCY: Federal Railroad Administration (FRA), U.S. Department of Transportation (DOT).

ACTION: Notice of information collection and request for comment.

SUMMARY: Under the Paperwork Reduction Act of 1995 (PRA) and its implementing regulations, FRA is informing the public that FRA has made five proposed revisions to the Quarterly Positive Train Control (PTC) Progress Report Form (Form FRA F 6180.165) and Annual PTC Progress Report Form (Form FRA F 6180.166), which the Office of Management and Budget (OMB) previously approved on August 15, 2017, under its regular processing procedures. Before submitting this revised information collection request (ICR) to OMB for regular clearance and approval, FRA is soliciting public comment on specific aspects of the proposed ICR.

DATES: Interested persons are invited to submit comments on or before [INSERT DATE 60 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

ADDRESSES: Submit written comments on the ICR activities by mail to either: Mr. Robert Brogan, Information Collection Clearance Officer, Office of Railroad Safety, Regulatory Analysis Division, RRS-21, Federal Railroad Administration, 1200 New Jersey Avenue, SE, Room W33-497, Washington, DC 20590; or Ms. Kim Toone,

Information Collection Clearance Officer, Office of Information Technology, RAD-20, Federal Railroad Administration, 1200 New Jersey Avenue, SE, Room W34-212, Washington, DC 20590. Commenters requesting FRA to acknowledge receipt of their respective comments must include a self-addressed stamped postcard stating, “Comments on OMB Control Number 2130-0553,” and should also include the title of the ICR. Alternatively, comments may be faxed to (202) 493-6216 or (202) 493-6497, or emailed to Mr. Brogan at Robert.Brogan@dot.gov, or Ms. Toone at Kim.Toone@dot.gov. Please refer to the assigned OMB control number in any correspondence submitted. FRA will summarize comments received in response to this notice in a subsequent notice and include them in its information collection submission to OMB for approval.

FOR FURTHER INFORMATION CONTACT: Mr. Robert Brogan, Information Collection Clearance Officer, Office of Railroad Safety, Regulatory Analysis Division, RRS-21, Federal Railroad Administration, 1200 New Jersey Avenue, SE, Room W33-497, Washington, DC 20590 (telephone: (202) 493-6292); or Ms. Kim Toone, Information Collection Clearance Officer, Office of Information Technology, RAD-20, Federal Railroad Administration, 1200 New Jersey Avenue, SE, Room W34-212, Washington, DC 20590 (telephone: (202) 493-6132).

SUPPLEMENTARY INFORMATION: The PRA, 44 U.S.C. 3501–3520, and its implementing regulations, 5 CFR part 1320, require Federal agencies to provide 60-days’ notice to the public to allow comment on information collection activities before seeking OMB approval of the activities. See 44 U.S.C. 3506, 3507; 5 CFR 1320.8–12.

Specifically, FRA invites interested parties to comment on the following ICR regarding:

- (1) whether the information collection activities are necessary for FRA to properly

execute its functions, including whether the activities will have practical utility; (2) the accuracy of FRA's estimates of the burden of the information collection activities, including the validity of the methodology and assumptions used to determine the estimates; (3) ways for FRA to enhance the quality, utility, and clarity of the information being collected; and (4) ways for FRA to minimize the burden of information collection activities on the public, including the use of automated collection techniques or other forms of information technology. See 44 U.S.C. 3506(c)(2)(A); 5 CFR 1320.8(d)(1).

FRA believes that soliciting public comment will promote its efforts to reduce the administrative and paperwork burdens associated with the collection of information that Federal regulations mandate. In summary, FRA reasons that comments received will advance three objectives: (1) reduce reporting burdens; (2) organize information collection requirements in a "user-friendly" format to improve the use of such information; and (3) accurately assess the resources expended to retrieve and produce information requested. See 44 U.S.C. 3501.

II. Background on the Quarterly and Annual PTC Reporting Requirements

Under the Positive Train Control Enforcement and Implementation Act of 2015 (PTCEI Act), each railroad subject to 49 U.S.C. 20157(a) must submit an annual progress report to FRA by March 31, 2016, and annually thereafter, until PTC system implementation is completed. 49 U.S.C. 20157(c)(1). The PTCEI Act specifically requires each railroad to provide certain information in the annual reports regarding its progress toward implementing a PTC system, in addition to any other information FRA requests. See id. In addition, 49 U.S.C. 20157(c)(2) requires FRA to conduct compliance reviews at least annually to ensure each railroad is complying with its revised

PTC Implementation Plan (PTCIP), including any FRA-approved amendments. The PTCEI Act requires railroads to provide information to FRA that FRA determines is necessary to adequately conduct such compliance reviews. 49 U.S.C. 20157(c)(2).

Under its statutory and regulatory investigative authorities, FRA currently requires, and seeks to continue requiring, each subject railroad to submit Quarterly PTC Progress Reports (Form FRA F 6180.165) and Annual PTC Progress Reports (Form FRA F 6180.166) on its PTC system implementation progress. See 49 U.S.C. 20157(c)(1)–(2); see also 49 U.S.C. 20107; 49 CFR 236.1009(h).

Specifically, in addition to the Annual PTC Progress Report (Form FRA F 6180.166) due each March 31 under 49 U.S.C. 20157(c)(1), railroads must provide quarterly progress reports covering the preceding three-month period and submit the forms to FRA on the dates in the following table until full PTC system implementation is completed:

	Coverage Period	Due Dates for Quarterly Reports
Q1	January 1 – March 31	April 30
Q2	April 1 – June 30	July 31
Q3	July 1 – September 30	October 31
Q4	October 1 – December 31	January 31

Each railroad must submit its Quarterly PTC Progress Reports on Form FRA F 6180.165 and its Annual PTC Progress Reports on Form FRA F 6180.166 on FRA’s Secure Information Repository at <https://sir.fra.dot.gov>.

II. Proposed Revisions to the Quarterly and Annual PTC Progress Report Forms

On August 15, 2017, OMB approved the Quarterly PTC Progress Report (Form FRA F 6180.165) and Annual PTC Progress Report (Form FRA F 6180.166) for a period of one year, expiring on August 31, 2018. The current Quarterly PTC Progress Report Form and Annual PTC Progress Report Form, as approved through August 31, 2018, can be accessed and downloaded in FRA's eLibrary at:

<https://www.fra.dot.gov/eLib/details/L17365> and

<https://www.fra.dot.gov/eLib/details/L17366>, respectively. These versions of the forms took into account the Association of American Railroads' written comments on behalf of itself and its member railroads; the American Public Transportation Association's written comments on behalf of Northeast Illinois Commuter Rail System, the Utah Transit Authority, the Tri-County Metropolitan Transportation District of Oregon, and the Fort Worth Transportation Authority; and industry stakeholders' comments during FRA's public meeting on April 19, 2016. FRA published minutes from the meeting on www.regulations.gov under Docket No. FRA-2016-0002. For a summary of the oral and written comments and FRA's responses to the comments, please see 81 FR 28140, May 9, 2016.

Following the 60-day public comment period after this notice is published, FRA will request OMB's re-approval of the forms, with the five changes described below. First, in Section 1 of the Quarterly PTC Progress Report Form (FRA F 6180.165), FRA proposes revising the row "Territories Where Revenue Service Demonstration Has Been Initiated" to state "Territories in Revenue Service Demonstration or in PTC Operation"

for clarity, based on additional feedback from the industry following OMB's approval of the form on August 15, 2017. FRA intended this row to include any and all territories where a railroad had initiated revenue service demonstration (RSD), even if a railroad subsequently obtained PTC System Certification from FRA and is operating its PTC system in revenue service. The purpose of this row is to collect information regarding a railroad's progress toward meeting the statutory criteria under 49 U.S.C.

20157(a)(3)(B)(vi)–(vii), if applicable. Based on feedback from the industry, FRA proposes clarifying the language in this row in Section 1 so railroads understand that a railroad can include in this row the number of territories where its PTC system is in RSD or in operation. This proposed change does not result in any additional reporting burden as it is only a clarifying change.

Second, in footnotes 4 and 6 of the Quarterly PTC Progress Report Form (FRA F 6180.165), FRA proposes adding a hyperlink to Appendix A. The footnotes currently state: "If a particular category listed in this table does not apply to the railroad's technology, please indicate 'N/A.' A railroad may add categories or subcategories if it wants to provide more detail." FRA proposes adding the phrase "in Appendix A" to the second sentence with a hyperlink to that appendix to the form, as it will help direct railroads to the available section of the PDF where they can provide additional information. A hyperlink to Appendix A was in the corresponding footnotes in the prior version of the Quarterly PTC Progress Report Form that OMB approved through June 30, 2017, but the hyperlink was omitted in error from the current version of the form. This proposed change (i.e., adding a hyperlink to an existing appendix) does not result in any additional reporting burden as it is only a formatting change.

Third, in Section 4 (entitled “Installation/Track Segment Progress – Current Status”) of both the quarterly form and the annual form, FRA proposes replacing the “Testing” option in the drop-down menu with two more precise options—i.e., “Field Testing” and “Revenue Service Demonstration.” This modification will help ensure clearer and more accurate reporting, without imposing an additional reporting burden.

Fourth, with respect to only the Annual PTC Progress Report Form (FRA F 6180.166), FRA proposes to delete a now inapplicable instruction from footnote 7 in Section 4, which stated,

Please note: For the Annual PTC Progress Report due by March 31, 2017, this mandatory geographic requirement (that must be satisfied by either completing Column 5 in Section 4 or submitting a GIS shapefile as described above) is due to FRA by April 30, 2017. Every other part of this form must be completed and submitted to FRA by March 31, 2017. This limited extension applies only in 2017.

FRA delayed the due date for submitting that specific information in 2017 only, per OMB’s request, to ensure railroads had sufficient time to compile and provide the information. FRA proposes removing that note from footnote 7 as it is no longer applicable or necessary. By statute, a railroad’s Annual PTC Progress Report is due by March 31st each year. 49 U.S.C. 20157(c)(1).

Fifth, with respect to both the quarterly form and the annual form, FRA proposes making certain changes to Section 6 (entitled “Update on Interoperability Progress”). FRA proposes removing the portion of the instruction that states a host railroad must provide information about the status of each tenant railroad’s rolling stock “if the tenant does not have a separate PTCIP on file.” FRA proposes removing this limiting instruction because FRA needs to know the PTC implementation status of any tenant railroad that operates on the host railroad’s property, except any tenant railroad that is

subject to an exception under 49 CFR 236.1006(b). In addition, before the final column in the table in Section 6, FRA proposes adding a column entitled, “Scheduled Completion Date for Interoperability Testing.” This information is necessary for FRA to understand the progress a host railroad and each of its required tenant railroads are jointly making toward testing and achieving PTC system interoperability, consistent with host railroad’s PTC Implementation Plan and/or PTC Safety Plan. FRA estimates the additional burden for a host railroad to complete this new reporting requirement would be, on average, approximately 2.5 hours for Class I railroads and large passenger railroads; 1.25 hours for Class II and medium passenger railroads; and thirty minutes for Class III, terminal, and small passenger railroads.

III. Overview of Information Collection

The associated collection of information is summarized below. FRA will submit this information collection request to OMB for regular clearance as required by the PRA.

Titles: Quarterly Positive Train Control Progress Report and Annual Positive Train Control Progress Report.

OMB Control Number: 2130-0553.

Form Number(s): FRA F 6180.165 and FRA F 6180.166.

Affected Public: Businesses.

Frequency of Submission: On occasion.

Respondent Universe: 41 Railroad Carriers.

Reporting

Burden:

Quarterly PTC Progress Report	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
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Form FRA F 6180.165	41 Railroads	164 Reports/ Forms	22.84 hours	3,746 hours
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FRA notes that the 22.84-hour estimate is an average for all railroads. FRA estimated the quarterly reporting burden is approximately 43 hours for the 11 Class I and large passenger railroads per quarterly form, approximately 28.75 hours for the 11 Class II and medium passenger railroads per quarterly form, and approximately 7.75 hours for the 19 Class III, terminal, and small passenger railroads per quarterly form.

Annual PTC Progress Report	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
Form FRA F 6180.166	41 Railroads	41 Reports/ Forms	39.65 hours	1,626 hours

FRA notes that the 39.65-hour estimate is an average for all railroads. FRA estimated the annual reporting burden is approximately 62.5 hours for the 11 Class I and large passenger railroads per annual form, approximately 41.25 hours for the 11 Class II and medium passenger railroads per annual form, and approximately 25.5 hours for the 19 Class III, terminal, and small passenger railroads per annual form.

Total Estimated Annual Responses for Form FRA F 6180.165: 164.

Total Estimated Annual Burden for Form FRA F 6180.165: 3,746 hours.

Total Estimated Annual Responses for Form FRA F 6180.166: 41.

Total Estimated Annual Burden for Form FRA F 6180.166: 1,625.75.

Respondent Universe: 41 Railroads.

Frequency of Submission: On occasion; quarterly; annually.

Reporting Burden:

CFR Section	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
Form FRA F 6180.166 – Annual PTC Progress Report Form	41 railroads	41 reports/forms	39.65 hours	1,626 hours
Form FRA F 6180.165 – Quarterly PTC Progress Report Form	41 railroads	164 reports/forms	22.84 hours	3,746 hours
234.275 – Processor-based systems – Railroad letter explaining deviations of a product from requirements	38 railroads	25 letters	4 hours	100 hours
235.6 – Expedited application for approval of certain signal system changes described in this section - Copy of expedited application to labor union - Railroad rescindment letter of request for expedited application of certain signal system changes - Revised application for certain signal system changes - Copy of railroad revised application to labor union	38 railroads	500 expedited applications	5 hours	2,500 hours
	38 railroads	500 copies	30 minutes	250 hours
	38 railroads	25 letters	6 hours	150 hours
	38 railroads	13 applications	5 hours	65 hours
	38 railroads	13 copies	30 minutes	7 hours
236.15 – Designation of automatic block, traffic control, train stop, train control, cab signal, or PTC territory in timetable instructions	38 railroads	13 timetable instructions	60 minutes	7 hours
236.18 – Software Management Control Plan, New Railroads - Subsequent years: updated plans	5 railroads	1 plan	2,150 hours	2,150 hours
	90 railroads	20 updated plans	1.50 hours	30 hours
236.905 – Railroad Safety Program Plan (RSPP), New Railroads - FRA request for additional information	5 railroads	1 RSPP	135 hours	135 hours
	78 railroads	1 document	135 hours	135 hours

CFR Section	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
- Railroad request to modify RSPP	78 railroads	1 request for amendment	400 hours	400 hours
236.907–909 – Railroad petition for review and approval of Product Safety Plan (PSP)	5 railroads	2 petitions/reviews	19,200 hours	19,200 hours
- Railroad sensitivity analysis supporting railroad risk assessment	5 railroads	5 analyses	160 hours	800 hours
236.913 – Filing and approval of joint PSP	6 railroads	1 joint plan	25,600 hours	25,600 hours
- Informational filing/petition for special approval	6 railroads	6 filings/approval petitions	1,928 hours	11,568 hours
- FRA request for further data after informational filing	6 railroads	2 data calls/documents	800 hours	1,600 hours
- FRA request for further information within 15 days after receipt of Notice of Product Development	6 railroads	6 data calls/documents	16 hours	96 hours
- Technical consultation by FRA with railroad on design and planned development of product	6 railroads	6 consultations	120 hours	720 hours
- Railroad Petition to FRA for final approval	6 railroads	6 petitions	16 hours	96 hours
- Comments to FRA on railroad informational filing or special approval petition	Public/railroad community	7 comments/letters	240 hours	1,680 hours
- Railroad amendment to PSP	6 railroads	15 amendments	160 hours	2,400 hours
- Railroad field testing/informational filing document	6 railroads	6 field tests/documents	3,200 hours	19,200 hours
236.917 – Railroad retention of records: results of tests & inspections specified in PSP	6 railroads	3 procedures	160,000 hours/ 160,000 hours/ 40,000 hours	360,000 hours
- Railroad report that frequency of safety relevant hazards exceeds threshold set forth in PSP	6 railroads	1 report	104 hours	104 hours
236.919 – Railroad Operations and Maintenance Manual (OMM)	6 railroads	6 OMM updates	40 hours	240 hours

CFR Section	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
- Plans for proper maintenance, repair, inspection, and testing of safety critical products - Documented hardware, software, & firmware revisions in OMM	6 railroads	6 plans	53,335 hours	320,010 hours
	6 railroads	6 revisions	6,440 hours	38,640 hours
236.921 – Training & qualification program - Trained signalmen & dispatchers	6 railroads	6 programs	400 hours	2,400 hours
	6 railroads	300 trained signalmen + 20 tr. dispatchers	40 hours + 20 hours	12,400 hours
236.923 – Railroad Task analysis - Railroad records designating other qualified persons	6 railroads	6 analyses/ documents	720 hours	4,320 hours
	6 railroads	350 records	10 minutes	58 hours
236.1001 – Railroad additional or more stringent PTC rules and other special instructions than prescribed under this section	38 railroads	3 rules or instructions	80 hours	240 hours
236.1005 – Railroad request for relief in PTCIP or RFA to implement PTC system based on minimal quantity of PIH materials traffic - Railroad request to temporarily reroute trains equipped with PTC onto tracks not equipped with PTC systems and vice versa - Written or telephonic notice to FRA Regional Administrator of conditions necessitating emergency rerouting - Planned maintenance: temporary rerouting requests - Request to FRA for temporary rerouting exceeding 30 days	38 railroads	3 relief requests	64 hours	192 hours
	38 railroads	47 requests	8 hours	376 hours
	38 railroads	47 written or telephonic notices	2 hours	94 hours
	38 railroads	720 requests	8 hours	5,760 hours
	38 railroads	361 requests	8 hours	2,888 hours
236.1006 – Equipping locomotives operating in PTC	38 railroads	35 reports	16 hours	560 hours

CFR Section	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
territory – Class II or III railroad progress reports for equipping locomotives with onboard apparatus for movements exceeding 20 mph				
236.1007 – HSR-125 document accompanying railroad PTC Safety Plan (PTCSP) for host railroads conducting freight or passenger operations at more than 125 mph	38 railroads	3 HSR-125 documents	3,200 hours	9,600 hours
- Railroad request to use foreign service data before submittal of PTCSP	38 railroads	2 data requests	8,000 hours	16,000 hours
- Submission of PTCSP with HSR-125 document by host railroad conducting freight or passenger operations at more than 150 mph	38 railroads	3 PTCSPs with HSR- 125 documents	3,200 hours	9,600 hours
- Railroad request in PTCSP that FRA excuse compliance with one or more of this section's requirements	38 railroads	1 request	1,000 hours	1,000 hours
236.1009 – Railroad filing PTCIP with FRA for a main line track segment requiring PTC system implementation or request for amendment (RFA) to its PTCIP for initiating a new category of service or materially modifying one or more railroad lines requiring a PTC system	38 railroads	1 PTCIP + 20 RFAs	535 hours + 320 hours	6,935 hours
- Host railroad filing unmodified Type Approval with FRA	38 railroads	2 documents	8 hours	16 hours
- PTC Development Plan (PTCDP) requesting Type Approval for PTC system or request to modify previous Type Approval with	38 railroads	20 cover letters + 20 modified Type Approvals + 2 PTCDPs	8 hours + 1,600 hours + 6,400 hours	44,960 hours

CFR Section	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
one or more variances - PTCSP or PTCDP translated from foreign language into English - Railroad request for confidentiality for a filing - Railroad field testing or independent assessment undertaken at FRA request for Type Approval or PTC System Certification - Access interviews with railroad personnel associated with Type Approval or PTC System Certification and to determine compliance with this subpart - Additional information to FRA on PTCDP and PTCSP	38 railroads	1 document	8,000 hours	8,000 hours
	38 railroads	38 cover letters + 38 confidentiality requests	8 hours + 800 hours	30,704 hours
	38 railroads	190 field tests + 2 assessments	800 hours	153,600 hours
	38 railroads	76 interviews	30 minutes	38 hours
	38 railroads	8 documents	400 hours	3,200 hours
236.1011 – PTCIP and public comment on PTCIPs, PTCDPs, and PTCSPs	38 railroads	1 PTCIP + 40 public comments	143 hours + 8 hours	400 hours
236.1015 – PTCSPs - Non-vital overlay - Vital overlay - Stand-alone - Railroad conference with FRA on mixed systems - PTCSP for Mixed System - Railroad provision of additional information to FRA upon request - PTCSP replacing existing certified PTC system - Non-quantitative risk assessment to FRA	38 railroads	3 PTCSPs	16,000 hours	48,000 hours
	38 railroads	28 PTCSPs	22,400 hours	627,200 hours
	38 railroads	1 PTCSP	32,000 hours	32,000 hours
	38 railroads	3 conferences	32 hours	96 hours
	38 railroads	1 PTCSP	28,800 hours	28,800 hours
	38 railroads	19 documents	3,200 hours	60,800 hours
	38 railroads	19 PTCSPs	3,200 hours	60,800 hours
236.1017 – Third Party Assessment - Host railroad written request to FRA to confirm whether a specific entity is independent	38 railroads	1 assessment	8,000 hours	8,000 hours
	38 railroads	1 written request	8 hours	8 hours

CFR Section	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
- Further information provided to FRA upon request - Waiver request regarding production of documents required for third party assessment - Request for FRA to accept certified information from a foreign railroad regulatory entity	38 railroads	1 additional document	160 hours	160 hours
	38 railroads	1 waiver request	160 hours	160 hours
	38 railroads	1 request	32 hours	32 hours
236.1019 – Main line track exception addendum - Intercity commuter or passenger line track exception addendum - Limited operation exception: railroad risk mitigation plan - Limited operation exception: railroad collision hazard analysis to FRA - Temporal separation procedures	38 railroads	36 MTEAs	160 hours	5,760 hours
	38 railroads	19 MTEAs	160 hours	3,040 hours
	38 railroads	19 plans	160 hours	3,040 hours
	38 railroads	12 analyses	1,600 hours	19,200 hours
	38 railroads	11 procedures	160 hours	1,760 hours
236.1021 – Request for amendment (RFA) to railroad PTCIP /PTCDP/PTCSP - Review and comment on RFA by interested parties	38 railroads	19 RFAs	160 hours	3,040 hours
	7 Interested parties	7 reviews + 20 public comments	3 hours + 16 hours	341 hours
236.1023 – Railroad PTC Product Vendor List - Railroad procedures for action to applicable vendor upon notification of a safety-critical failure, upgrade, patch, revision, replacement, or modification to PTC system - Railroad notification to vendor and FRA of failure, malfunction, or defective condition that decreased or eliminated safety functionality of	38 railroads	38 lists	8 hours	304 hours
	38 railroads	38 procedures	16 hours	608 hours
	38 railroads	142 notifications	16 hours	2,272 hours

CFR Section	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
PTC product - Notification updates - Railroad and vendor report to FRA of results of investigation of accident or service difficulty related to PTC system or product because of a manufacturing or design defect - PTC supplier or vendor report of PTC system or product safety-relevant failures, defective conditions, previously unidentified hazards, and recommended mitigation actions	38 railroads	142 notice updates	16 hours	2,272 hours
	38 railroads	5 reports	400 hours	2,000 hours
	38 railroads	142 reports + 142 report copies	16 hours + 8 hours	3,408 hours
236.1029 – PTC System Use: Report of en route failure - Railroad submission to FRA of Order of Particular Applicability for approval - Railroad notice to FRA regional office of planned disabling of PTC system at least 7 days in advance and a contemporaneous notice of unplanned temporary disabling	38 railroads	836 reports	96 hours	80,256 hours
	38 railroads	1 order	3,200 hours	3,200 hours
	38 railroads	76 notices + 114 unplanned notices	10 hours	1,900 hours
236.1031 – Railroad Request for Expedited Certification (REC) - Railroad PTC system request to FRA for grandfathering of previously approved train control system	38 railroads	3 REC letters	160 hours	480 hours
	38 railroads	3 requests	1,600 hours	4,800 hours
236.1035 – Railroad request for approval to conduct field testing of uncertified PTC system with provision of required documents - Railroad request to FRA for regulatory relief from certain	38 railroads	190 requests	800 hours	152,000 hours
	38 railroads	38 requests	320 hours	12,160 hours

CFR Section	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
requirements of 49 part 236				
236.1037 – Records Retention - Results of inspections and tests specified in PTCSP and PTCDP	38 railroads	836 records	4 hours	3,344 hours
- Records on testing, maintenance, or operation of PTC system	38 railroads	18,240 records	30 minutes	9,120 hours
- Railroad report of frequency of safety-relevant hazards exceeding threshold set forth in PTCSP or PTCDP	38 railroads	4 reports	8 hours	32 hours
- Railroad final report to FRA on results of analysis and countermeasures to reduce the frequency of safety-related hazards	38 railroads	4 final reports	160 hours	640 hours
236.1039 – Railroad development and/or update of PTC Operations and Maintenance Manual (OMM)	38 railroads	38 OMM updates	250 hours	9,500 hours
- Railroad identification of PTC safety-critical components	38 railroads	114,000 I.D.s	1 hour	114,000 hours
- OMM-designated PTC officer responsible for scheduled service interruptions	38 railroads	76 designated officers	2 hours	152 hours
236.1041– PTC Training & Qualification Program	38 railroads	38 programs	400 hours	15,200 hours
236.1043 – Regular & periodic evaluations of PTC training program	38 railroads	38 regular & periodic evaluations	720 hours	27,360 hours
- Training records	38 railroads	560 records	10 minutes	93 hours
236.1045 – PTC Training of Office Control Personnel	38 railroads	32 trained personnel	20 hours	640 hours
236.1047 – PTC Training of Operating Personnel	38 railroads	7,600 trained personnel	3 hours	22,800 hours

Total Estimated Annual Responses: 147,526.

Total Estimated Annual Burden: 2,728,528 hours.

Under 44 U.S.C. 3507(a) and 5 CFR 1320.5(b), 1320.8(b)(3)(vi), FRA informs all interested parties that it may not conduct or sponsor, and a respondent is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Authority: 44 U.S.C. 3501–3520.

Brett Andrew Jortland,
Acting Deputy Chief Counsel.

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